

10-16-00

Box Seq A

10/13/00
jc912 U.S. PTO

In the United States Patent and Trademark Office
Utility Patent Application Transmittal

jc931 U.S. PTO
09/687864
10/13/00

Mailed: 2000, October 13

Express Mail Label #:

EK812107235US

Box Patent Application
Assistant Commissioner for Patents
Washington, DC 20231

Sir:

Please file the following enclosed patent application papers:

Applicant #1: Jeffrey A. Ledbetter
Applicant #2: Martha Hayden-Ledbetter
Title: DNA Vaccines Encoding Antigen Linked to a Domain that binds CD40

- ☒ Fee Transmittal Form
- ☒ Specification, Claims, and Abstract//Total Pages: 21
- ☒ Drawings//Total Pages: 7
- ☒ Declaration//Total Pages 3
 - a. Newly executed (original or copy)
 - b. Date Signed: 2000 Oct. 13
- ☒ Nucleotide and/or amino acid sequence submission
 - a. computer readable copy
 - b. paper copy, identical to computer copy
- ☒ Small Entity Declaration of Inventors.
- ☒ Return receipt postcard addressed to applicant #1.
- ☒ Check for \$380.00 for filing fee for utility patent.
- ☒ Request under MPEP & 707.07(j):

The undersigned, a pro se applicant, respectfully requests that if the Examiner finds patentable subject matter disclosed in this application, but feels that Applicant's present claims are not entirely suitable, the Examiner draft one or more allowable claims for applicant.

Very respectfully,

Jeffrey A. Ledbetter
Applicant #1 Signature
18798 Ridgefield Rd NW
Correspondence Address
Shoreline, WA 98177

Martha Hayden-Ledbetter
Applicant #2 Signature
18798 Ridgefield Rd N.W.
Address
Shoreline, WA 98177

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Please type a plus sign (+) inside this box → ☒

Approved for use through 09/30/2000. OMB 0651-0032
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))

Attorney Docket No.	
First Inventor or Application Identifier	Jeffrey Ledbetter
Title	DNA Vaccines Encoding Antigen Linked to a Domain
Express Mail Label No.	09/687864

APPLICATION ELEMENTS	
See MPEP chapter 600 concerning utility patent application contents.	
1. <input checked="" type="checkbox"/> * Fee Transmittal Form (e.g., PTO/SB/17) (Submit an original and a duplicate for fee processing)	
2. <input checked="" type="checkbox"/> Specification [Total Pages 21]	
<ul style="list-style-type: none"> - Descriptive title of the Invention - Cross References to Related Applications - Statement Regarding Fed sponsored R & D - Reference to Microfiche Appendix - Background of the Invention - Brief Summary of the Invention - Brief Description of the Drawings (if filed) - Detailed Description - Claim(s) - Abstract of the Disclosure 	
3. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets 7]	
4. Oath or Declaration [Total Pages]	
<ul style="list-style-type: none"> a. <input checked="" type="checkbox"/> Newly executed (original or copy) b. <input type="checkbox"/> Copy from a prior application (37 C.F.R. § 1.63(d)) (for continuation/divisional with Box 16 completed) i. <input type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b). 	

ADDRESS TO:	
Assistant Commissioner for Patents Box Patent Application Washington, DC 20231	
5. <input type="checkbox"/> Microfiche Computer Program (Appendix)	
6. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)	
<ul style="list-style-type: none"> a. <input checked="" type="checkbox"/> Computer Readable Copy b. <input checked="" type="checkbox"/> Paper Copy (identical to computer copy) c. <input type="checkbox"/> Statement verifying identity of above copies 	

ACCOMPANYING APPLICATION PARTS	
7. <input type="checkbox"/> Assignment Papers (cover sheet & document(s))	
8. <input type="checkbox"/> 37 C.F.R. § 3.73(b) Statement of Power of Attorney (when there is an assignee)	
9. <input type="checkbox"/> English Translation Document (if applicable)	
10. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449	<input type="checkbox"/> Copies of IDS Citations
11. <input type="checkbox"/> Preliminary Amendment	
12. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) (Should be specifically itemized)	
13. <input checked="" type="checkbox"/> * Small Entity Statement(s) (PTO/SB/09-12)	<input type="checkbox"/> Statement filed in prior application. <input type="checkbox"/> Status still proper and desired
14. <input type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed)	
15. <input type="checkbox"/> Other:	

NOTE FOR ITEMS 1 & 13: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).

16. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:		
<input type="checkbox"/> Continuation	<input type="checkbox"/> Divisional	<input type="checkbox"/> Continuation-in-part (CIP)
Prior application information: Examiner		Group / Art Unit:
For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.		

17. CORRESPONDENCE ADDRESS					
<input type="checkbox"/> Customer Number or Bar Code Label			or <input checked="" type="checkbox"/> Correspondence address below		
(Insert Customer No. or Attach bar code label here)					
Name	Jeffrey A. Ledbetter				
Address	18798 Ridgefield Road N.W.				
City	Shoreline	State	Washington	Zip Code	98177-3227
Country	USA	Telephone	(206) 546-0473	Fax	(206) 546-6002

Name (Print/Type)	Jeffrey A. Ledbetter	Registration No. (Attorney/Agent)	
Signature	Jeffrey A. Ledbetter	Date	10/13/00

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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FEE TRANSMITTAL for FY 1999

Patent fees are subject to annual revision.
Small Entity payments must be supported by a small entity statement.
otherwise large entity fees must be paid. See Forms PTO/SB/09-12.
See 37 C.F.R. §§ 1.27 and 1.28.

TOTAL AMOUNT OF PAYMENT (\$)

380.00

Complete if Known

Application Number
Filing Date
First Named Inventor Jeffrey A. Ledbetter
Examiner Name
Group / Art Unit
Attorney Docket No.

FEE CALCULATION (continued)

METHOD OF PAYMENT (check one)

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit
Account
Number

Deposit
Account
Name

☐ Charge Any Additional Fee Required
Under 37 CFR §§ 1.16 and 1.17

2. ☒ Payment Enclosed:
☒ Check ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101 760	201 380	Utility filing fee	380
106 310	206 155	Design filing fee	
107 480	207 240	Plant filing fee	
108 760	208 380	Reissue filing fee	
114 150	214 75	Provisional filing fee	

SUBTOTAL (1) (\$)

380

2. EXTRA CLAIM FEES

Total Claims 14
Independent Claims 14
Multiple Dependent Claims 0
Extra Claims 0
Fee from below 0
Fee Paid 0

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
103 18	203 9	Claims in excess of 20	
102 78	202 39	Independent claims in excess of 3	
104 260	204 130	Multiple dependent claim, if not paid	
109 78	209 39	** Reissue independent claims over original patent	
110 18	210 9	** Reissue claims in excess of 20 and over original patent	

SUBTOTAL (2) (\$)

0

3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 380	216 190	Extension for reply within second month	
117 870	217 435	Extension for reply within third month	
118 1,360	218 680	Extension for reply within fourth month	
128 1,850	228 925	Extension for reply within fifth month	
119 300	219 150	Notice of Appeal	
120 300	220 150	Filing a brief in support of an appeal	
121 260	221 130	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,210	241 605	Petition to revive - unintentional	
142 1,210	242 605	Utility issue fee (or reissue)	
143 430	243 215	Design issue fee	
144 580	244 290	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Petitions related to provisional applications	
126 240	126 240	Submission of Information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	
146 760	246 380	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 760	249 380	For each additional invention to be examined (37 CFR § 1.129(b))	

Other fee (specify)

Other fee (specify)

SUBTOTAL (3) (\$)

0

* Reduced by Basic Filing Fee Paid

SUBMITTED BY
Name (Print/Type) Jeffrey A. Ledbetter
Signature Jeffrey A. Ledbetter

Registration No.
(Attorney/Agent)

Complete (if applicable)

Telephone (206) 546-0473

Date 10/13/00

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

PTO/SB/17 (6/99)
Approved for use through 09/30/2000. OMB 0851-0032
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

931 U.S. PTO
09/687864



10/13/00

**STATEMENT CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(f) & 1.27(b))--INDEPENDENT INVENTOR**

Docket Number (Optional)

Applicant, Patentee, or Identifier: Jeffrey A. Ledbetter

Application or Patent No.: _____

Filed or Issued: _____

Title: DNA Vaccines Encoding Antigen Linked to a Domain that Binds CD40

As a below named inventor, I hereby state that I qualify as an independent inventor as defined in 37 CFR 1.9(c) for purposes of paying reduced fees to the Patent and Trademark Office described in:

- ☒ the specification filed herewith with title as listed above.
☐ the application identified above.
☐ the patent identified above.

I have not assigned, granted, conveyed, or licensed, and am under no obligation under contract or law to assign, grant, convey, or license, any rights in the invention to any person who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern, or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

- ☒ No such person, concern, or organization exists.
☐ Each such person, concern, or organization is listed below.

Separate statements are required from each named person, concern, or organization having rights to the invention stating their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

Jeffrey A. Ledbetter
NAME OF INVENTOR

Martha Hayden-Ledbetter
NAME OF INVENTOR

NAME OF INVENTOR

Jeffrey A. Ledbetter
Signature of inventor 10/13/00

Martha Hayden-Ledbetter
Signature of inventor 10/13/00

Signature of inventor

10/13/00

Date

10/13/00

Date

Date